



# Judicial Branch of Arizona Trial Courts Request For Proposal Cover Page

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB, 4<sup>th</sup> Floor  
Phoenix, AZ 85003  
Phone: (602) 506-8124

**Solicitation Number:** 06004-RFP

**Solicitation Title:** DUI Court Treatment

**Solicitation Due Date / Time:** Thursday, May 11, 2006, at 2:00 P.M. Mountain Standard Time

**Submittal Location:** Judicial Branch of Arizona, Trial Courts  
Contracts Department  
201 West Jefferson Street  
CCB, 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

## Description of Procurement:

To provide substance abuse treatment services as defined by the Maricopa County Adult Probation Department (the Court). Offeror shall provide services as defined in this solicitation for DUI Court clients. Referrals by the court will be provided for: Standard Outpatient (SOP) and Intensive Outpatient (IOP) relapse prevention, and aftercare.

In accordance with the Judicial Procurement Code, competitive sealed proposals for the materials or services specified will be received by the Judicial Branch of Arizona Trial Courts Contracts Department at the above specified location until the time and date cited.

Offers must be in the actual possession of the Judicial Branch of Arizona Trial Courts Contracts Department on or prior to the time and date, and at the submittal location indicated above. ***Late offers will not be considered.***

Offers must be submitted in a sealed envelope or package with the Solicitation Number and the Offeror's name and address clearly indicated on the envelope or package. All offers must be completed in ink or typewritten. Additional instructions for preparing an offer are included in this Solicitation.

Persons with disabilities may request special accommodations such as interpreters, alternate formats, or assistance with physical accessibility. Requests for special accommodations must be made with 72 hours prior notice. Such requests are to be addressed to the Solicitation Contact Person or Contract Specialist.

***OFFERORS ARE STRONGLY ENCOURAGED TO CAREFULLY READ THE ENTIRE SOLICITATION.***

\_\_\_\_\_  
Larry Hall  
Contract Specialist

\_\_\_\_\_  
602-506-8124  
Telephone Number

\_\_\_\_\_  
Date

## OFFER AND AWARD



Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

**SOLICITATION NO. 06004-RFP**

The Undersigned hereby offers and agrees to furnish the materials, service(s) or construction in compliance with all the terms, conditions, specifications and amendments in the solicitation.

Company Name

Name of Person Authorized to Sign Offer

Street Address

Title of Authorized Person

City State Zip Code

Signature of Authorized Person Date of Offer

Telephone Number: \_\_\_\_\_

Facsimile Number: \_\_\_\_\_

Offeror's Arizona Transaction (Sales) Privilege Tax License Number: \_\_\_\_\_

Offeror's Federal Employer Identification Number: \_\_\_\_\_

Acknowledgement of Amendment(s):  
*(Offeror acknowledges receipt of amendment(s) to the Solicitation for Offers and related documents numbered and dated*

Amendment No. Date

Amendment No. Date

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

The following is used solely for the collection data purposes and will not affect the evaluation of this solicitation.

MINORITY/ WOMEN-OWNED SMALL BUSINESSES (check appropriate item):

\_\_\_\_\_ Disadvantaged Business Enterprise (DBE)  
\_\_\_\_\_ Women-Owned Business Enterprise (WBE)  
\_\_\_\_\_ Minority Business Enterprise (MBE)  
\_\_\_\_\_ Small Business Enterprise (SBE)

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**SOLICITATION NO. 06004-RFP**

## ACCEPTANCE OF OFFER AND CONTRACT AWARD

*(For Judicial Branch of Arizona, Trial Courts Use Only)*

Your Offer, dated \_\_\_\_\_, is hereby accepted as described in the Notice of Award. You are now bound to perform based upon the solicitation and your Offer, as accepted by the Judicial Branch of Arizona Trial Courts.

This Contract shall henceforth be referred to as Contract Number **06004-RFP**.

You are hereby cautioned not to commence any billable work or provide any material, service or construction under this contract until you receive an executed purchase order, contract release document, or written notice to proceed, if applicable.

Judicial Branch of ARIZONA and for the county of Maricopa

ATTESTED:

\_\_\_\_\_  
PRESIDING JUDGE, Barbara R. Mundell

\_\_\_\_\_  
DATE

## TABLE OF CONTENTS

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

**SOLICITATION NO. 06004-RFP**

<b><u>Section</u></b>	<b><u>Title</u></b>	<b><u>Page</u></b>
	Solicitation Cover Page	
	Offer and Award Form	1
	Table of Contents	2
<b>1</b>	Scope of Work	
<b>2</b>	Special Terms and Conditions	
<b>3</b>	Uniform Terms and Conditions	
<b>4</b>	Special Instructions to Offerors	
<b>5</b>	Uniform Instructions to Offerors	
<b>6</b>	Attachments (These standard documents must be completed and returned by the Offeror. Other documents may be <i>required</i> . Refer to Special Instructions to Offerors.)	
	<b>6.1</b> Prices	
	<b>6.2</b> Offeror's Questionnaire	
	<b>6.3</b> Sole Proprietor Waiver	
	<b>6.4</b> Business Ownership Classifications	
<b>7</b>	Exhibits	
	<b>7.1</b> Certificate of Insurance	

## **SECTION 1 SCOPE OF WORK**

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

**SOLICITATION NO. 06004-RFP**

### **BACKGROUND**

Due to the chronic and relapsing nature of substance abuse behavior and chemical dependency, the immediate discharge of an offender from treatment for any alcohol or drug use is seen as ineffective and unrealistic. Treatment programming needs to include a treatment response to the failure to achieve abstinence or to address the problems associated with relapse. Therefore, the intent of this solicitation is for the purpose of providing Substance Abuse Treatment Services for the Adult Probation Department of the Superior Court in Maricopa County (MCAPD) DUI Court program.

### **QUALIFICATIONS**

#### **Criteria for Selection**

- The Contractor must have prior experience providing empirically validated substance abuse counseling/treatment services to Criminal Justice clients in a community-based setting.
- The Contractor must demonstrate the organizational capability to administer treatment services as directed by MCAPD and meet all contractual requirements. The Contractor must have a variety of locations available to accommodate clients living within Maricopa County.
- The Contractor must be licensed by the State of Arizona Board of Behavioral Health (ABBH) or the Joint Commission on Accreditation of Hospitals (JCAHO). The Contractor must also furnish a copy of said behavioral health licensure and a proposal responsive to the RFP signed by the authorized official.
- The Contractor must furnish a copy of their sliding fee scale.
- The Contractor must provide a list of names of counseling staff and their specific counseling roles.
- References will be requested.

#### **Staff Qualification/Restrictions**

- All counselors who provide “direct services” (client contact) must:
  1. Possess at least a Bachelor’s degree in a social science or a related discipline and be professionally licensed to practice counseling in the state of Arizona.
  2. Provide documentation of licensure and accreditation on an ongoing basis. Criteria for eligibility for licensure can be obtained from the Arizona Board of Behavioral Health Examiners, phone #602-542-1882.
  3. Receive weekly, documented clinical supervision from a Ph.D., Psy.D., or Master’s level supervisor, if the counselor has less than a Master’s degree.
- The Contractor and/or their employees/sub Contractors shall:
  1. Avoid compromising relationships with clients, sub Contractors, or probation staff.
  2. Report any improprieties, or the appearance thereof, to the appropriate MCAPD staff member.
  3. Report any new criminal arrests or convictions of any program staff to the appropriate MCAPD staff member.
  4. Report any actions or complaints of any regulatory board, including but not limited to the Arizona Board of Behavioral Health Examiners, of any program staff working with DUI Court Program clients within 3 business days of notification of the complaint.
  5. Failure to abide by the above terms and conditions could result in the termination of this contract.

## **SECTION 1 SCOPE OF WORK**

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

### **SOLICITATION NO. 06004-RFP**

Employees of the Contractor who have contact with probationers and/or records under the supervision or jurisdiction of the Adult Probation Department of the Superior Court in Maricopa County (MCAPD) pursuant to this contract must submit to and pass a background check by MCAPD. This background investigation will be completed immediately upon obtaining employment with the Contractor. The background check may include a criminal records check. For the purposes of replying to this solicitation, the Contractor needs only respond with a statement of intent to comply.

The Contractor will obtain a signed background check release form from all employees who have contact with probationers and/or records under the supervision or jurisdiction of MCAPD pursuant to this contract. The Contractor shall provide the signed background check release form to MCAPD immediately upon employment so that a background check can be completed by MCAPD. Typically, two to three weeks will be needed by MCAPD to complete each background check, although MCAPD cannot guarantee a specific time frame. Persons who are employed by the Contractor pursuant to this contract shall not have contact with probationers or records as stated above until MCAPD has completed the background investigation and has cleared the person for such contact.

MCAPD reserves the right to require that the Contractor cannot utilize an individual for contact with probationers or with records under the supervision or jurisdiction of the MCAPD of the Superior Court in Maricopa County until the background check has been completed and MCAPD has determined that such contact by the employee is acceptable for the purposes of this contract. The decision of MCAPD as to the eligibility of the employee for contact with probationers or records as stated above is final and is not subject to an appeal. Pursuant to state law, the information derived from the background check cannot be divulged to the Contractor, the employee, or any other unauthorized party.

## **CONTRACTOR RESPONSIBILITIES**

### **Administrative Services**

The Contractor shall provide services, in a non-residential setting, as defined in this solicitation. Referrals by the Court will be provided for the following services: standard outpatient (SOP), intensive outpatient (IOP), relapse prevention, and aftercare. It is anticipated that most participants in outpatient programming will contribute financially to their treatment as indicated by structured ability to pay process; developed by MCAPD and provided to the contractor. The DUI Court treatment team will closely monitor client progression through the continuum of care.

The Contractor shall attend DUI Court team meetings as scheduled. Meetings will be scheduled by the program manager as needed and the Contractor will be notified at least one week in advance of the date, time, and location of each meeting.

In addition, an authorized representative for the DUI Court Contractor shall attend weekly court staffings as a member of the DUI Court team with the supervising probation officer of all participants active in the program. This will occur at the regularly scheduled staffing prior to participants' scheduled court hearings. These staffings are expected to last no longer than two hours.

As members of the DUI Court team, it is crucial that each treatment provider is aware of the need for accurate yet concise information regarding clients during each staffing. There must be a progress report at staffing for each client on the calendar in order for the team to determine the appropriate action to take regarding the future of the client's treatment. If a counseling representative is unable to attend a DUI Court staffing, progress reports must be received by the probation office by noon on the day prior to court.

Counseling staff should never be late for staffing without reason. This is disrespectful to the judge and the rest of the DUI Court team. Professional, commonly used clinical terms must be utilized during staffing.

## **SECTION 1 SCOPE OF WORK**

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

### **SOLICITATION NO. 06004-RFP**

The Contractor will keep accurate client attendance records for program activities. They will provide timely notification of excessive absences from treatment. Counselors must track the number of groups clients have attended and the number of groups remaining for each path. This information should be available to the client when necessary and included on the progress report, which the counselor presents during staffing.

Following staffing, if a client has been discharged, the provider shall prepare and submit a discharge summary for each client no later than 5 business days following termination. A standardized format for discharge summaries will be agreed upon and utilized throughout the contract period. This report must be sent to authorized MCAPD staff.

The Contractor agrees to respond to phone calls from the DUI Court probation officers, other MCAPD staff, and from individual clients within 2 business days.

The Contractor agrees to supplement treatment with individual sessions for clients who request or need such services as determined in staffing.

The Contractor agrees to allow authorized DUI Court personnel to attend intake/assessment sessions and the provider's group counseling sessions as needed.

The Contractor agrees to provide program rules and regulations to MCAPD in the response to the RFP. Contact providers will furnish, in writing, any procedural changes as they occur during the contract period.

Probationers will be required to sign a release of information form agreeing to full and appropriate communication between the Contractor and MCAPD authorized personnel (including the supervising probation officer) regarding the client's participation and therapeutic progress during the program.

Counselors must report any suspicion of clients being under the influence of alcohol or illicit drugs immediately to the supervising probation officer. This is a crucial component of the DUI Court program and needs to be strictly adhered to.

It is necessary for an agency to inform clients and probation officers when groups are going to be cancelled at least one week in advance.

If an agency plans to close one of their counseling locations, the DUI Court clinical supervisor and defendants must be informed at least 30 days in advance.

### **Treatment Recommendations**

It is the duty of the probation officer to give directives to their clients on issues related to probation compliance. Therefore, at no time shall treatment providers give orders to clients outside the realm of the therapeutic environment. Recommendations from counselors to probation officers are expected and appreciated. However, it is important that there are clear lines that separate the duties of the client's probation officer and their counselor.

If it is determined that a client may be dismissed or discharged from group or discharged from treatment by the Contractor, the Contractor will first notify MCAPD authorized personnel and initiate efforts to remediate the clients prior to termination, if possible. Such notification must occur prior to termination unless doing so would compromise the safety and well being of the probationer or others.

There shall be no unilateral decisions regarding clients made by treatment providers. An important aspect of the DUI Court program is the unity of the team and consensus among all members. This helps to ensure that decisions are unbiased and preserves the focus of appropriate actions for the client.

## **SECTION 1 SCOPE OF WORK**

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

**SOLICITATION NO. 06004-RFP**

Although there may be conjecture regarding the mental health of various DUI Court clients, it is only the duty of a licensed psychiatrist or psychologist to render diagnoses. Unwarranted diagnoses jeopardize the integrity of the decisions of the DUI Court team. Unless the client has been examined by a psychiatrist or a psychologist, it is extremely important for counselors to refrain from labeling or diagnosing clients during staffing, on any progress report, or at anytime.

### **Statistical Reports**

Outcome measures, financial reports, enrollment procedures, population served, treatment plans, and progress evaluation methods and measurements are some dynamics that may be requested throughout the treatment and contract duration.

### **Sliding Fee Scale**

All program participants will be required to pay for services, as determined by a sliding fee scale. The Court will not be providing any actual funds. The Court will only be providing referrals. The Court will limit the number of providers receiving referrals from DUI Court. The Court will reinforce the offender's responsibility to pay for these services in its regular review of client progress.

Clients must be offered a sliding scale based on their income. Assessment fees will be deferred for clients who fall into the lowest income bracket on the sliding scale. Fees due will be recorded on counseling progress reports and will be discussed during staffing. Costs for groups must remain consistent throughout the program. It is the responsibility of each agency to update financial eligibility forms and modify fees as needed.

Treatment providers must track monies owed by each client and must be able to inform the client of his/her balance. Clients owing money to the treatment agency will be reported to the judge and appropriate measures will be taken. It is the policy of the DUI Court program that clients are not denied services for not paying counseling fees regularly.

Clients who leave treatment against the advice of the program shall be obligated to provide restitution of any and all accrued fees to the Contractor with support provided by the Adult Probation Department. The Contractor is to immediately notify the supervising probation officer and authorized MCAPD staff of all AMA incidents.

## **SERVICES**

### **Program Specifics**

The DUI treatment program is one year in length. The treatment continuum consists of intensive (IOP) or standard (SOP) outpatient treatment, relapse prevention, and aftercare. The treatment provider is required to use the following curriculum: Criminal Conduct and Substance Abuse Treatment, authored by Drs. Kenneth Wanberg & Harvey Milkman. The curriculum includes a Provider's Guide and a Participant's Workbook. Each DUI Court client will be required to purchase the Participant's Workbook. This will be their materials fee; the agency will not charge any other material fees.



## **SECTION 1 SCOPE OF WORK**

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
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**SOLICITATION NO. 06004-RFP**

Groups should consist of no more than 12 clients. Alternative proposals for larger group sizes and number of facilitators may be offered. SOP and IOP groups shall be separate and at no time shall a client identified as needing SOP or IOP treatment attend a group unless it is attended exclusively by other clients identified as needing the same level of treatment as per the referral. Additionally, DUI Court participants may not be placed in any other program group. They are not funded by the Drug Treatment Education Fund (DTEF) and cannot be in the same treatment group with DTEF clients.

In the event that a client has been assessed to be placed in a modality other than the original recommended treatment, The agency must contact the clinical supervisor for briefing and approval.

Treatment providers must develop individualized treatment plans with each offender that identify and address specific criminogenic needs pertinent to continued substance abuse. Examples of associated needs are:

- Client demonstrates anti-social attitudes supportive of continued substance use.
- Client reports peer and/or family associations that support continued substance use.
- Client lives in a dysfunctional family/living environment that promotes continued chemical use.
- Client lacks current or stable employment.
- Client lacks self-control, self-management and/or problem-solving skills necessary to avoid or survive high-risk situations for lapse/relapse.
- Client is unable to recognize high-risk situations and does not have a concrete, well-rehearsed plan for dealing with those situations.

An unsuccessful discharge from outpatient treatment is viewed as appropriate when: (a) the offender demonstrates violent or otherwise threatening behavior towards self or others; (b) continues to use substances after all remedial efforts have been exhausted; or (c) fails to comply with program rules and/or expectations after specific behavioral contracts have been developed.

### **OUTCOMES**

### **TIMELINE**

## SECTION 2

### SPECIAL TERMS AND CONDITIONS

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

#### SOLICITATION NO. 06004-RFP

1. **Definition of Terms Used in these Special Terms and Conditions.** As used in these Special Terms and Conditions, the following terms, in addition to those terms defined in Section 3, Paragraph 1, have the following meaning:
  - A. “*JBTC*” means the Judicial Branch of Arizona Trial Courts.
  - B. “*Department*” means the Contracts Department of the Judicial Branch of Arizona Trial Courts.
  - C. “*Services*” means services performed, workmanship and material furnished or used in the performance of services.
2. **Changes.**
  - A. The department may/shall at any time, by written order, and without notice to the sureties, if any, make mutually acceptable changes within the general scope of this Contract in any one or more of the following:
    - (1) Description of services to be performed;
    - (2) Time of performance (i.e., hours of the day, days of the week, etc.); and
    - (3) Place of performance of the services.
  - B. If any such change causes an increase or decrease in the cost of, or the time required for, performance of any part of the work under this Contract, whether or not changed by the order, the Contract Specialist may/shall make an equitable adjustment in the Contract price, the delivery schedule, or both, and shall modify the contract.
  - C. The Contractor must assert its right to an adjustment under this provision within 30 days from the date of receipt of the written order. However, if the Contract Specialist decides that the facts justify it, the department may/shall receive and act upon a proposal submitted before final payment of the Contract.
  - D. If the Contractor’s proposal includes the cost of property made obsolete or excess by the change, the department may/shall have the right to prescribe the manner of the disposition of the property.
  - E. Failure to agree to any adjustment shall be a dispute under the Contract Claims provision of this Contract. However, nothing in this provision shall excuse the Contractor from proceeding with the Contract as changed.
3. **Indemnification.**

Contractor shall indemnify, defend, save and hold harmless the Judicial Branch of Arizona, Trial Courts, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees (hereinafter referred to as “Indemnatee”) from and against any and all claims, actions, liabilities, damages, losses, or expenses (including court costs, attorneys’ fees, and costs of claim processing, investigation and litigation) (hereinafter referred to as “Claims”) for bodily injury or personal injury (including death), or loss or damage to tangible or intangible property caused, or alleged to be caused, in whole or in part, by the negligent or willful acts or omissions of Contractor or any of its owners, officers, directors, agents, employees or subcontractors. This indemnity includes any claim or amount arising out of or recovered under the Workers’ Compensation Law or arising out of the failure of such contractor to conform to any federal, state or local law, statute, ordinance, rule, regulation or court decree. It is

## SECTION 2

### SPECIAL TERMS AND CONDITIONS

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

#### SOLICITATION NO. 06004-RFP

the specific intention of the parties that the Indemnatee shall, in all instances, except for Claims arising solely from the negligent or willful acts or omissions of the Indemnatee, be indemnified by Contractor from and against any and all claims. It is agreed that Contractor will be responsible for primary loss investigation, defense and judgment costs where this indemnification is applicable. In consideration of the award of this contract, the Contractor agrees to waive all rights of subrogation against the Judicial Branch of Arizona, Trial Courts, its officers, officials, agents and employees for losses arising from the work performed by the Contractor for the Judicial Branch of Arizona, Trial Courts.

*This indemnity shall not apply if the contractor or sub-contractor(s) is/are an agency, board, commission or university of the Judicial Branch of Arizona, Trial Courts.*

#### 4. Insurance.

Contractor and subcontractors shall procure and maintain until all of their obligations have been discharged, including any warranty periods under this Contract, are satisfied, insurance against claims for injury to persons or damage to property which may arise from or in connection with the performance of the work hereunder by the Contractor, his agents, representatives, employees or subcontractors.

The **insurance requirements** herein are minimum requirements for this Contract and in no way limit the indemnity covenants contained in this Contract. The Judicial Branch of Arizona, Trial Courts in no way warrants that the minimum limits contained herein are sufficient to protect the Contractor from liabilities that might arise out of the performance of the work under this contract by the Contractor, its agents, representatives, employees or subcontractors, and Contractor is free to purchase additional insurance.

A. **MINIMUM SCOPE AND LIMITS OF INSURANCE:** Contractor shall provide coverage with limits of liability not less than those stated below.

##### 1. Commercial General Liability – Occurrence Form

Policy shall include bodily injury, property damage, personal injury and broad form contractual liability.

• General Aggregate	\$2,000,000
• Products – Completed Operations Aggregate	\$1,000,000
• Personal and Advertising Injury	\$1,000,000
• Blanket Contractual Liability – Written and Oral	\$1,000,000
• Fire Legal Liability	\$ 50,000
• Each Occurrence	\$1,000,000

a. The policy shall be endorsed to include the following additional insured language: ***“The Judicial Branch of Arizona, Trial court, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees shall be named as additional insureds with respect to liability arising out of the activities performed by or on behalf of the Contractor”.***

b. Policy shall contain a waiver of subrogation against the Judicial Branch of Arizona, Trial Courts, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees for losses arising from work performed by or on behalf of the Contractor.

##### 2. Worker's Compensation and Employers' Liability

Workers' Compensation

Statutory

## SECTION 2

### SPECIAL TERMS AND CONDITIONS

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

#### SOLICITATION NO. 06004-RFP

Employers' Liability	
Each Accident	\$ 500,000
Disease – Each Employee	\$ 500,000
Disease – Policy Limit	\$1,000,000

- a. Policy shall contain a waiver of subrogation against the Judicial Branch of Arizona, Trial Courts its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees for losses arising from work performed by or on behalf of the Contractor.
- b. This requirement shall not apply to: Separately, EACH contractor or subcontractor exempt under A.R.S. § 23-901, AND when such contractor or subcontractor executes the appropriate waiver (Sole Proprietor/Independent Contractor) form.

B. **ADDITIONAL INSURANCE REQUIREMENTS:** The policies shall include, or be endorsed to include, the following provisions:

1. The Judicial Branch of Arizona, Trial Courts its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees wherever additional insured status is required such additional insured shall be covered to the full limits of liability purchased by the Contractor, even if those limits of liability are in excess of those required by this Contract.
2. The Contractor's insurance coverage shall be primary insurance with respect to all other available sources.
3. Coverage provided by the Contractor shall not be limited to the liability assumed under the indemnification provisions of this Contract.

C. **NOTICE OF CANCELLATION:** Each insurance policy required by the insurance provisions of this Contract shall provide the required coverage and shall not be suspended, voided, canceled, or reduced in coverage or in limits except after thirty (30) days prior written notice has been given to the Judicial Branch of Arizona. Such notice shall be sent directly to the Superior Court Contracts Department of this section and shall be sent by certified mail, return receipt requested.

D. **ACCEPTABILITY OF INSURERS:** Insurance is to be placed with duly licensed or approved non-admitted insurers in the Judicial Branch of Arizona, Trial Courts with an "A.M. Best" rating of not less than A- VII. The Judicial Branch of Arizona, Trial Courts in no way warrants that the above-required minimum insurer rating is sufficient to protect the Contractor from potential insurer insolvency.

E. **VERIFICATION OF COVERAGE:** Contractor shall furnish the Judicial Branch of Arizona, Trial Courts with certificates of insurance (ACORD form or equivalent approved by the State of Arizona) as required by this Contract. The certificates for each insurance policy are to be signed by a person authorized by that insurer to bind coverage on its behalf.

All certificates and endorsements are to be received and approved by the Judicial Branch of Arizona, Trial Courts before work commences. Each insurance policy required by this Contract must be in effect at or

## SECTION 2

### SPECIAL TERMS AND CONDITIONS

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

#### SOLICITATION NO. 06004-RFP

prior to commencement of work under this Contract and remain in effect for the duration of the project. Failure to maintain the insurance policies as required by this Contract, or to provide evidence of renewal, is a material breach of contract.

All certificates required by this Contract shall be sent directly to the Superior Court Contracts Department. The Judicial Branch of Arizona, Trial Courts contract number and contract title shall be noted on the certificate of insurance. The Judicial Branch of Arizona, Trial Courts reserves the right to require complete, certified copies of all insurance policies required by this Contract at any time. **DO NOT SEND CERTIFICATES OF INSURANCE TO THE STATE OF ARIZONA'S RISK MANAGEMENT SECTION.**

F. **SUBCONTRACTORS:** Contractors' certificate(s) shall include all subcontractors as insureds under its policies or Contractor shall furnish to the Judicial Branch of Arizona, Trial Courts separate certificates and endorsements for each subcontractor. All coverages for subcontractors shall be subject to the minimum requirements identified above.

G. **APPROVAL:** Any modification or variation from the *insurance requirements* in this Contract shall be made by the Department of Administration, Risk Management Section, whose decision shall be final. Such action will not require a formal Contract amendment, but may be made by administrative action.

H. **EXCEPTIONS:** In the event the Contractor or sub-contractor(s) is/are a public entity, then the Insurance Requirements shall not apply. Such public entity shall provide a Certificate of Self-Insurance. If the contractor or sub-contractor(s) is/are a Judicial Branch of Arizona, Trial Courts agency, board, commission, or university, none of the above shall apply.

5. **Contract Term.** The term of this Contract shall commence on the date the offeror(s) and presiding judge signs the Offer and Acceptance Form, signifying JBTC's acceptance of the Offeror's proposal and will remain in effect through \_\_\_\_\_, unless terminated, canceled, or extended as otherwise provided herein.

6. **Option to Extend the Term of the Contract.**

A. The Judicial Branch may at its option extend the one-year period of this Contract up to four (4) additional annual periods or portions thereof. The Offeror shall be notified in writing by the Judicial Branch's intention to extend the contract period at least sixty (60) calendar days prior to the expiration of the original contract period.

B. If JBTC exercises this option, the extended Contract shall be considered to include this option provision as well as all other terms and conditions of the original contract, as modified.

C. The total duration of this Contract, including the exercise of any options under this provision, shall not exceed five (5) years.

7. **Pricing.** All pricing shall be firm, fixed and be inclusive of all labor, equipment, materials, products, freight (FOB Destination), consumable supplies, insurance, and all other costs incidental to the services provided.

8. **Employment of Judicial Branch of Arizona, Trial Courts Personnel.** The Contractor shall not employ any person or persons in the employ of the Judicial Branch of Arizona, Trial Courts for any work required by the terms of this Contract, without prior written approval of the Contract Specialist.

## SECTION 2 SPECIAL TERMS AND CONDITIONS

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

**SOLICITATION NO. 06004-RFP**

**9. Warranty of Services.**

- A. The Contractor warrants that all services provided hereunder will conform to the requirements of the Contract, including all descriptions, specifications and attachments made a part of this Contract. JBTC's acceptance of services or goods provided by the Contractor shall not relieve the Contractor from its obligations under this warranty.
- B. In addition to its other remedies, JBTC may, at the Contractor's expense, require prompt correction of any services failing to meet the Contractor's warranty herein. Services corrected by the Contractor shall be subject to all the provisions of this Contract in the manner and to the same extent as services originally furnished hereunder.

**10. Inclusive Offeror.** Offeror(s) are encouraged to make every effort to utilize subcontractors that are small, women-owned and/or minority owned business enterprises. This could include subcontracts for percentage of the services. Offerors who are committing a portion of their work to such subcontractors shall do so by identifying the type of service and work to be performed by providing detail concerning your organization's utilization of small, women-owned and/or minority business enterprises. Emphasis should be placed on specific areas that are subcontracted and percentage of contract utilization and how this effort will be administered and managed, including reporting requirements.

**11. Cooperation with Other Contractors and Subcontractors.** The Contractor shall fully cooperate with other JBTC contractors, subcontractors and assigns and shall carefully plan and perform its own work to accommodate the work of other JBTC contractors. The Contractor shall not intentionally commit or permit any act which will interfere with the performance of work by any other JBTC contractors.

**12. Report Standards.** Reports or written materials prepared by the Contractor in response to the requirements of this Contract shall be thoroughly researched for accuracy of content, shall be grammatically correct and not contain spelling errors, shall be submitted in a format approved in advance by the department, and shall be submitted in draft form for advance review and comment by the department, if necessary or specified. The cost of correcting grammatical errors, correcting report data, or other revisions required to bring the report or written material into compliance with the Contract requirements shall be borne by the Contractor.

**13. Offshore Performance of Work Prohibited**

Due to security and identity protection concerns, direct services under this contract shall be performed within the borders of the United States. Any services that are described in the specifications or scope of work that directly serve the Judicial Branch of Arizona, Trial Courts or its clients and may involve access to secure or sensitive data or personal client data or development or modification of software for the Judicial Branch of Arizona, Trial Courts shall be performed within the borders of the United States. Unless specifically stated otherwise in the specifications, this definition does not apply to indirect or "overhead" services, redundant back-up services or services that are incidental to the performance of the contract. This provision applies to work performed by subcontractors at all tiers. Offerors shall declare all anticipated offshore services in the proposal.

**14. Payments.**

- A. The Contractor shall submit invoices in one (1) original and one (1) copy. Invoices shall include:
  - (1) Name and address of the Contractor.
  - (2) Invoice date.

**SECTION 2**  
**SPECIAL TERMS AND CONDITIONS**

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

**SOLICITATION NO. 06004-RFP**

- (3) Contract number or other authorization for supplies delivered or services performed (including order number and contract line item number).
- (4) Description, quantity, unit of measure, unit price, and extended price of supplies delivered or services performed.
- (5) Shipping and payment terms (e.g., shipment number and date of shipment, prompt payment discount terms).
- (6) Name and address of Contractor official to whom payment is to be sent (must be the same as that in the Contract or in a proper notice of assignment).
- (7) Name (where practicable), title, phone number, and mailing address of person to be notified in the event of a defective invoice.
- (8) Any other information or documentation required by the Contract (such as evidence of shipment).

B. Submittal of an invoice constitutes Contractor's certification that services have been delivered as specified on the invoice in accordance with the Contract.

C. Submit invoices to the following address:

15. Address to which Contractor payment(s) should be mailed, if different than that listed on the Offer and Award Form.

Carey McGrath  
Clinical Coordinator  
111 S. 3<sup>rd</sup> Avenue, 5<sup>th</sup> Floor  
Phoenix, Arizona 85003  
cmcgrath@apd.maricopa.gov

**SECTION 2**  
**SPECIAL TERMS AND CONDITIONS**

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

**SOLICITATION NO. 06004-RFP**

**16. Contract Administration**

- A. Contractor representative to contact for contract administration purposes:

\_\_\_\_\_  
(Name and Title)

\_\_\_\_\_  
(Street Address)

\_\_\_\_\_  
(City & State) (Zip Code)

\_\_\_\_\_  
(Telephone & Facsimile Numbers)

\_\_\_\_\_  
(E-Mail Address)

- B. The JBTC representative to contact for technical or programmatic matters concerning contract performance (NOTE: this person is not authorized to direct contractor performance or make changes in contract requirements.)

Carey McGrath  
Clinical Coordinator  
111 S. 3<sup>rd</sup> Avenue, 5<sup>th</sup> Floor  
Phoenix, Arizona 85003  
cmcgrath@apd.maricopa.gov

- C. All contract administration matters will be managed by the Contract Specialist named below. All correspondence concerning this contract shall be directed to this individual.

Larry Hall  
Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003  
602-506-8124



## SECTION 3 UNIFORM TERMS AND CONDITIONS

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

### SOLICITATION NO. 06004-RFP

1. **Definition of Terms.** As used in this Solicitation and any resulting Contract, the terms listed below are defined as follows:
  - A. *“Attachment”* means any item the Solicitation requires the Offeror to submit as part of the Offer.
  - B. *“Contract”* means the combination of the Solicitation, including the Uniform and Special Instructions to Offerors, the Uniform and Special Terms and Conditions, and the Specifications and Statement or Scope of Work; the Offer and any Final Proposal Revisions; and any Solicitation Amendments or Contract Amendments.
  - C. *“Contract Amendment”* means a written document signed by the offeror and presiding judge that is issued for the purpose of making changes in the Contract.
  - D. *“Contractor”* means any person who has a Contract with the Judicial Branch of Arizona, Trial Courts..
  - E. *“Days”* means calendar days unless otherwise specified
  - F. *“Exhibit”* means any item labeled as an Exhibit in the Solicitation or placed in the Exhibits section of the Solicitation.
  - G. *“Gratuity”* means a payment, loan, subscription, advance, deposit of money, services, or anything of more than nominal value, present or promised, unless consideration of substantially equal or greater value is received.
  - H. *“Materials”* means all property, including equipment, supplies, printing, insurance and leases of property but does not include land, a permanent interest in land or real property or leasing space.
  - I. *“Contract Specialist”* means the person duly authorized by the Judicial Branch of Arizona to enter into and administer Contracts and make written determinations with respect to the Contract or their designee.
  - J. *“Services”* means the furnishing of labor, time or effort by a contractor or subcontractor which does not involve the delivery of a specific end product other than required reports and performance, but does not include employment agreements or collective bargaining agreements.
  - K. *“Subcontract”* means any Contract, express or implied, between the Contractor and another party or between a subcontractor and another party delegating or assigning, in whole or in part, the making or furnishing of any material or any service required for the performance of the Contract.
  - L. *“JBTC”* means the Judicial Branch of Arizona, Trial Court that executes the Contract.
  - M. *“Fiscal Year”* means the period beginning with July 1 and ending June 30.
2. **Contract Interpretation.**
  - A. Arizona Law. The Arizona law applies to this Contract including, where applicable, the Uniform Commercial Code as adopted by the State of Arizona and the Judicial Procurement Code, Arizona Revised Statutes, and it’s implementing rules, Arizona Administrative Code (A.A.C.) Title 2, Chapter 7.

## SECTION 3 UNIFORM TERMS AND CONDITIONS

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

### SOLICITATION NO. 06004-RFP

- B. Implied Contract Terms. Each provision of law and any terms required by law to be in this Contract are a part of this Contract as if fully stated in it.
- C. Contract Order of Precedence. In the event of a conflict in the provisions of the Contract, as accepted by the Judicial Branch of Arizona, Trial Courts and as they may be amended, the following shall prevail in the order set forth below:
- (1) Special Terms and Conditions;
  - (2) Uniform Terms and Conditions;
  - (3) Statement or Scope of Work;
  - (4) Specifications;
  - (5) Attachments;
  - (6) Exhibits;
  - (7) Special Instructions to Offerors;
  - (8) Uniform Instructions to Offerors;
  - (9) Other documents referenced or included in the Solicitation.
- D. Relationship of Parties. The Contractor under this Contract is an independent Contractor. Neither party to this Contract shall be deemed to be the employee or agent of the other party to the Contract.
- E. Severability. The provisions of this Contract are severable. Any term or condition deemed illegal or invalid shall not affect any other term or condition of the Contract.
- F. No Parol Evidence. This Contract is intended by the parties as a final and complete expression of their agreement. No course of prior dealings between the parties and no usage of the trade shall supplement or explain any terms used in this document and no other understanding either oral or in writing shall be binding.
- G. No Waiver. Either party's failure to insist on strict performance of any term or condition of the Contract shall not be deemed a waiver of that term or condition even if the party accepting or acquiescing in the nonconforming performance knows of the nature of the performance and fails to object to it.

### 3. Contract Administration and Operation.

- A. Records. Under A.R.S. § 35-214 and § 35-215, the Contractor shall retain and shall contractually require each subcontractor to retain all data and other "records" relating to the acquisition and performance of the Contract for a period of five years after the completion of the Contract. All records shall be subject to inspection and audit by the Judicial Branch of Arizona, Trial Courts at reasonable times. Upon request, the Contractor shall produce a legible copy of any or all such records.
- B. Non-Discrimination. The Contractor shall comply with State Executive Order No. 99-4 and all other applicable Federal and State laws, rules and regulations, including the Americans with Disabilities Act.

## SECTION 3 UNIFORM TERMS AND CONDITIONS

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

### SOLICITATION NO. 06004-RFP

- C. Audit. Pursuant to A.R.S. § 35-214, at any time during the term of this Contract and five (5) years thereafter, the Contractor's or any subcontractor's books and records shall be subject to audit by the Judicial Branch of Arizona, Trial Courts and, where applicable, the Federal Government, to the extent that the books and records relate to the performance of the Contract or Subcontract.
- D. Facilities Inspection and Materials Testing. The Contractor agrees to permit access to its facilities, subcontractor facilities and the Contractor's processes or services, at reasonable times for inspection of the facilities or materials covered under this Contract. The Judicial Branch of Arizona, Trial Courts shall also have the right to test, at its own cost, the materials to be supplied under this Contract. Neither inspection of the Contractor's facilities nor materials testing shall constitute final acceptance of the materials or services. If the Judicial Branch of Arizona, Trial Courts determines non-compliance of the materials, the Contractor shall be responsible for the payment of all costs incurred by the Judicial Branch of Arizona, Trial Courts for testing and inspection.
- E. Notices. Notices to the Contractor required by this Contract shall be made by the Judicial Branch of Arizona, Trial Courts to the person indicated on the Offer and Acceptance form submitted by the Contractor unless otherwise stated in the Contract. Notices to the Judicial Branch of Arizona, Trial Courts required by the Contract shall be made by the Contractor to the Solicitation Contact Person indicated on the Solicitation cover sheet, unless otherwise stated in the Contract. An authorized Contract Specialist and an authorized Contractor representative may change their respective person to whom notice shall be given by written notice and an amendment to the Contract shall not be necessary.
- F. Advertising, Publishing and Promotion of Contract. The Contractor shall not use, advertise or promote information for commercial benefit concerning this Contract without the prior written approval of the JBTC.
- G. Property of the Judicial Branch of Arizona, Trial Courts. Any materials, including reports, computer programs and other deliverables, created under this Contract are the sole property of the Judicial Branch of Arizona, Trial Courts. The Contractor is not entitled to a patent or copyright on those materials and may not transfer the patent or copyright to anyone else. The Contractor shall not use or release these materials without the prior written consent of the Judicial Branch of Arizona, Trial Courts.
- H. Ownership of Intellectual Property. Any and all intellectual property, including but not limited to copyright, invention, trademark trade name, service mark, and/or trade secrets created or conceived pursuant to or as a result of this Contract and any related subcontract ("Intellectual Property"), shall be work made for hire and the Judicial Branch of Arizona, Trial Courts shall be considered the creator of such Intellectual Property. The agency, department, division, board or commission of the Judicial Branch of Arizona, Trial Courts requesting the issuance of this Contract shall own (for and on behalf of the Judicial Branch of Arizona, Trial Courts) the entire right, title and interest to the Intellectual Property throughout the world. Contractor shall notify the Judicial Branch of Arizona, Trial Courts, within thirty (30) days, of the creation of any Intellectual Property by it or its subcontractor(s). Contractor, on behalf of itself and any subcontractor(s), agrees to execute any and all document(s) necessary to assure ownership of the Intellectual Property vests in the Judicial Branch of Arizona, Trial Courts and shall take no affirmative actions that might have the effect of vesting all or part of the Intellectual Property in any entity other than the Judicial Branch of Arizona, Trial Courts. The Intellectual Property shall not be disclosed by Contractor or its subcontractor(s) to any entity not the Judicial Branch of Arizona, Trial Courts without the express written authorization of the agency, department, division, board or commission of the Judicial Branch of Arizona, Trial Courts requesting the issuance of this Contract.

## SECTION 3 UNIFORM TERMS AND CONDITIONS

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

**SOLICITATION NO. 06004-RFP**

### 4. Costs and Payments.

- A. Payments. Payments shall comply with the requirements of A.R.S. Titles 35 and 41, Net 30 days. Upon receipt and acceptance of goods or services, the Contractor shall submit a complete and accurate invoice for payment from the Judicial Branch of Arizona, Trial Courts within thirty (30) days.
- B. Delivery. Unless stated otherwise in the Contract, all prices shall be F.O.B. Destination and shall include all freight delivery and unloading at the destinations.
- C. Applicable Taxes.
- (1) Payment of Taxes. The Contractor shall be responsible for paying all applicable taxes.
  - (2) State and Local Transaction Privilege Taxes. The State of Arizona is subject to all applicable state and local transaction privilege taxes. Transaction privilege taxes apply to the sale and are the responsibility of the seller to remit. Failure to collect taxes from the buyer does not relieve the seller from its obligation to remit taxes.
  - (3) Tax Indemnification. Contractor and all subcontractors shall pay all Federal, state and local taxes applicable to its operation and any persons employed by the Contractor. Contractor shall, and require all subcontractors to hold the State harmless from any responsibility for taxes, damages and interest, if applicable, contributions required under Federal, and/or state and local laws and regulations and any other costs including transaction privilege taxes, unemployment compensation insurance, Social Security and Worker's Compensation.
  - (4) IRS W9 Form. In order to receive payment, the Contractor shall have a current I.R.S. W9 Form on file with the State of Arizona, unless not required by law.
  - (5) Availability of Funds for the Next Fiscal Year. Funds may not presently be available for performance under this Contract beyond the current state fiscal year. No legal liability on the part of the Judicial Branch of Arizona, Trial Courts for any payment may arise under this Contract beyond the current fiscal year until funds are made available for performance of this Contract.
  - (6) Availability of Funds for the Current Fiscal Year. Should the State Legislature enter back into session or the Board of Supervisors take action to reduce the appropriations or for any reason and these goods or services are not funded, the State may take any of the following actions:
    - a. Accept a decrease in price offered by the Contactor;
    - b. Cancel the Contract;
    - c. Cancel the Contract and re-solicit the requirements.

### 5. Contract Changes.

- A. Amendments. This Contract is issued under the authority of the JBTC and the presiding judge who signed this Contract. The Contract may be modified only through a Contract Amendment within the scope of the Contract. Changes to the Contract, including the addition of work or materials, the revision of payment terms, or the substitution of work or materials, directed by a person who is not specifically authorized by the Contract Specialist in writing or made unilaterally by the Contractor are violations of the Contract and of

## SECTION 3 UNIFORM TERMS AND CONDITIONS

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

### SOLICITATION NO. 06004-RFP

applicable law. Such changes, including unauthorized written Contract Amendments shall be void and without effect, and the Contractor shall not be entitled to any claim under this Contract based on those changes.

- B. Subcontracts. The Contractor shall not enter into any Subcontract under this Contract for the performance of this Contract without the advance written approval of the Contract Specialist. The Contractor shall clearly list any proposed subcontractors and the subcontractor's proposed responsibilities. The Subcontract shall incorporate by reference the terms and conditions of this Contract.
- C. Assignment and Delegation. The Contractor shall not assign any right nor delegate any duty under this Contract without the prior written approval of the Contract Specialist. The Judicial Branch of Arizona, Trial Courts shall not unreasonably withhold approval.

#### 6. Risk and Liability.

- A. Risk of Loss. The Contractor shall bear all loss of conforming material covered under this Contract until received by authorized personnel at the location designated in the purchase order or Contract. Mere receipt does not constitute final acceptance. The risk of loss for nonconforming materials shall remain with the Contractor regardless of receipt.
- B. General Indemnification. To the extent permitted by A.R.S. § 41-621 and § 35-154, the Judicial Branch of Arizona, Trial Courts shall be indemnified and held harmless by the Contractor for its vicarious liability as a result of entering into this Contract. Each party to this Contract is responsible for its own negligence.
- C. Indemnification.
  - (1) Contractor/Vendor Indemnification (Not Public Agency). The parties to this Contract agree that the Judicial Branch of Arizona, Trial Courts, its departments, agencies, boards and commissions shall be indemnified and held harmless by the Contractor for the vicarious liability of the Judicial Branch of Arizona, Trial Courts as a result of entering into this Contract. However, the parties further agree that the Judicial Branch of Arizona, Trial Courts, its departments, agencies, boards and commissions shall be responsible for its own negligence. Each party to this Contract is responsible for its own negligence.
  - (2) Public Agency Language Only. Each party (as 'indemnitor') agrees to indemnify, defend, and hold harmless the other party (as 'indemnitee') from and against any and all claims, losses, liability, costs, or expenses (including reasonable attorney's fees) (hereinafter collectively referred to as 'claims') arising out of bodily injury of any person (including death) or property damage but only to the extent that such claims which result in vicarious/derivative liability to the indemnitee, are caused by the act, omission, negligence, misconduct, or other fault of the indemnitor, its officers, officials, agents, employees, or volunteers.
  - (3) Indemnification – Patent and Copyright. The Contractor shall indemnify and hold harmless the Judicial Branch of Arizona, Trial Courts against any liability, including costs and expenses, for infringement of any patent, trademark or copyright arising out of Contract performance or use by the State of materials furnished or work performed under this Contract. The Judicial Branch of Arizona, Trial Courts shall reasonably notify the Contractor of any claim for which it may be liable under this paragraph. If the Contractor is insured pursuant to A.R.S. § 41-621 and § 35-154, this section shall not apply.

## SECTION 3 UNIFORM TERMS AND CONDITIONS

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

**SOLICITATION NO. 06004-RFP**

D. Force Majeure.

- (1) Except for payment of sums due, neither party shall be liable to the other nor deemed in default under this Contract if and to the extent that such party's performance of this Contract is prevented by reason of force majeure. The term "*force majeure*" means an occurrence that is beyond the control of the party affected and occurs without its fault or negligence. Without limiting the foregoing, force majeure includes acts of God; acts of the public enemy; war; riots; strikes; mobilization; labor disputes; civil disorders; fire; flood; lockouts; injunctions-intervention-acts; or failures or refusals to act by government authority; and other similar occurrences beyond the control of the party declaring force majeure which such party is unable to prevent by exercising reasonable diligence.
- (2) Force Majeure shall not include the following occurrences:
  - a. Late delivery of equipment or materials caused by congestion at a manufacturer's plant or elsewhere, or an oversold condition of the market;
  - b. Late performance by a subcontractor unless the delay arises out of a force majeure occurrence in accordance with this force majeure term and condition; or
  - c. Inability of either the Contractor or any subcontractor to acquire or maintain any required insurance, bonds, licenses or permits.
- (3) If either party is delayed at any time in the progress of the work by force majeure, the delayed party shall notify the other party in writing of such delay, as soon as is practicable and no later than the following working day, of the commencement thereof and shall specify the causes of such delay in such notice. Such notice shall be delivered or mailed certified-return receipt and shall make a specific reference to this article, thereby invoking its provisions. The delayed party shall cause such delay to cease as soon as practicable and shall notify the other party in writing when it has done so. The time of completion shall be extended by Contract Amendment for a period of time equal to the time that results or effects of such delay prevent the delayed party from performing in accordance with this Contract.
- (4) Any delay or failure in performance by either party hereto shall not constitute default hereunder or give rise to any claim for damages or loss of anticipated profits if, and to the extent that such delay or failure is caused by force majeure.

- E. Third Party Antitrust Violations. The Contractor assigns to the Judicial Branch of Arizona, Trial Courts any claim for overcharges resulting from antitrust violations to the extent that those violations concern materials or services supplied by third parties to the Contractor, toward fulfillment of this Contract.

7. **Warranties.**

- A. Liens. The Contractor warrants that the materials supplied under this Contract are free of liens and shall remain free of liens.
- B. Quality. Unless otherwise modified elsewhere in these terms and conditions, the Contractor warrants that, for one year after acceptance by the Judicial Branch of Arizona, Trial Courts of the materials, they shall be:

### SECTION 3

## UNIFORM TERMS AND CONDITIONS

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

### SOLICITATION NO. 06004-RFP

- (1) Of a quality to pass without objection in the trade under the Contract description;
  - (2) Fit for the intended purposes for which the materials are used;
  - (3) Within the variations permitted by the Contract and are of even kind, quantity, and quality within each unit and among all units;
  - (4) Adequately contained, packaged and marked as the Contract may require; and
  - (5) Conform to the written promises or affirmations of fact made by the Contractor.
- C. Fitness. The Contractor warrants that any material supplied to the Judicial Branch of Arizona, Trial Courts shall fully conform to all requirements of the Contract and all representations of the Contractor, and shall be fit for all purposes and uses required by the Contract.
- D. Inspection/Testing. The warranties set forth in subparagraphs 7A through 7C of this paragraph are not affected by inspection or testing of or payment for the materials by the Judicial Branch of Arizona, Trial Courts.
- E. Year 2000.
- (1) Notwithstanding any other warranty or disclaimer of warranty in this Contract, the Contractor warrants that all products delivered and all services rendered under this Contract shall comply in all respects to performance and delivery requirements of the specifications and shall not be adversely affected by any date-related data Year 2000 issues. This warranty shall survive the expiration or termination of this Contract. In addition, the defense of *force majeure* shall not apply to the Contractor's failure to perform specification requirements as a result of any date-related data Year 2000 issues.
  - (2) Additionally, notwithstanding any other warranty or disclaimer of warranty in this Contract, the Contractor warrants that each hardware, software, and firmware product delivered under this Contract shall be able to accurately process date/time data (including but not limited to calculation, comparing, and sequencing) from, into, and between the twentieth and twenty-first centuries, and the years 1999 and 2000 and leap year calculations, to the extent that other information technology utilized by the Judicial Branch of Arizona, Trial Courts in combination with the information technology being acquired under this Contract properly exchanges date-time data with it. If this Contract requires that the information technology products being acquired perform as a system, or that the information technology products being acquired perform as a system in combination with other Judicial Branch of Arizona, Trial Courts information technology, then this warranty shall apply to the acquired products as a system. The remedies available to the Judicial Branch of Arizona, Trial Courts for breach of this warranty shall include, but shall not be limited to, repair and replacement of the information technology products delivered under this Contract. In addition, the defense of *force majeure* shall not apply to the failure of the Contractor to perform any specification requirements as a result of any date-related data Year 2000 issues.
- F. Compliance With Applicable Laws. The materials and services supplied under this Contract shall comply with all applicable Federal, state and local laws, and the Contractor shall maintain all applicable licenses and permit requirements.

## SECTION 3 UNIFORM TERMS AND CONDITIONS

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

### SOLICITATION NO. 06004-RFP

- G. Survival of Rights and Obligations after Contract Expiration or Termination.
- (1) Contractor's Representations and Warranties. All representations and warranties made by the Contractor under this Contract shall survive the expiration or termination hereof. In addition, the parties hereto acknowledge that pursuant to A.R.S. § 12-510, except as provided in A.R.S. § 12-529, the Judicial Branch of Arizona, Trial Courts is not subject to or barred by any limitations of actions prescribed in A.R.S., Title 12, Chapter 5.
  - (2) Purchase Orders. The Contractor shall, in accordance with all terms and conditions of the Contract, fully perform and shall be obligated to comply with all purchase orders received by the Contractor prior to the expiration or termination hereof, unless otherwise directed in writing by the Contract Specialist, including, without limitation, all purchase orders received prior to but not fully performed and satisfied at the expiration or termination of this Contract.
8. **Judicial Branch of Arizona, Trial Courts' Contractual Remedies.**
- A. Right to Assurance. If the Judicial Branch of Arizona, Trial Courts in good faith has reason to believe that the Contractor does not intend to, or is unable to perform or continue performing under this Contract, the may demand in writing that the Contractor give a written assurance of intent to perform. Failure by the Contractor to provide written assurance within the number of Days specified in the demand may, at the Judicial Branch of Arizona, Trial Courts' option, be the basis for terminating the Contract under the Uniform Terms and Conditions or other rights and remedies available by law or provided by the Contract.
  - B. Stop Work Order.
    - (1) The Judicial Branch of Arizona, Trial Courts may, at any time, by written order to the Contractor, require the Contractor to stop all or any part, of the work called for by this Contract for period(s) of days indicated by the Judicial Branch of Arizona, Trial Courts after the order is delivered to the Contractor. The order shall be specifically identified as a stop work order issued under this clause. Upon receipt of the order, the Contractor shall immediately comply with its terms and take all reasonable steps to minimize the incurrence of costs allocable to the work covered by the order during the period of work stoppage.
    - (2) If a stop work order issued under this clause is canceled or the period of the order or any extension expires, the Contractor shall resume work. The Contract Specialist shall make an equitable adjustment in the delivery schedule or Contract price, or both, and the Contract shall be amended in writing accordingly.
  - C. Non-exclusive Remedies. The rights and the remedies of the Judicial Branch of Arizona, Trial Courts under this Contract are not exclusive.
  - D. Nonconforming Tender. Materials or services supplied under this Contract shall fully comply with the Contract. The delivery of materials or services a portion of the materials or services that do not fully comply constitutes a breach of contract. On delivery of nonconforming materials or services, the Judicial Branch of Arizona, Trial Courts may terminate the Contract for default under applicable termination clauses in the Contract, exercise any of its rights and remedies under the Uniform Commercial Code, or pursue any other right or remedy available to it.
  - E. Right of Offset. The Judicial Branch of Arizona, Trial Courts shall be entitled to offset against any sums due the Contractor, any expenses or costs incurred by the Judicial Branch of Arizona, Trial Courts, or damages



## SECTION 3 UNIFORM TERMS AND CONDITIONS

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

### SOLICITATION NO. 06004-RFP

assessed by the Judicial Branch of Arizona, Trial Courts concerning the Contractor's non-conforming performance or failure to perform the Contract, including expenses, costs and damages described in the Uniform Terms and Conditions.

#### 9. **Contract Termination.**

- A. Cancellation for Conflict of Interest. Pursuant to A.R.S. § 38-511, the Judicial Branch of Arizona, Trial Courts may cancel this Contract within three (3) years after Contract execution without penalty or further obligation if any person significantly involved in initiating, negotiating, securing, drafting or creating the Contract on behalf of the Judicial Branch of Arizona, Trial Courts is or becomes at any time while the Contract or an extension of the Contract is in effect an employee of or a consultant to any other party to this Contract with respect to the subject matter of the Contract. The cancellation shall be effective when the Contractor receives written notice of the cancellation unless the notice specifies a later time. If the Contractor is a political subdivision of the Judicial Branch of Arizona, Trial Courts, it may also cancel this Contract as provided in A.R.S. § 38-511.
- B. Gratuities. The Judicial Branch of Arizona, Trial Courts may, by written notice, terminate this Contract, in whole or in part, if the Judicial Branch of Arizona, Trial Courts determines that employment or a Gratuity was offered or made by the Contractor or a representative of the Contractor to any officer or employee of the Judicial Branch of Arizona, Trial Courts for the purpose of influencing the outcome of the procurement or securing the Contract, an amendment to the Contract, or favorable treatment concerning the Contract, including the making of any determination or decision about contract performance. The Judicial Branch of Arizona, Trial Courts, in addition to any other rights or remedies, shall be entitled to recover exemplary damages in the amount of three times the value of the Gratuity offered by the Contractor.
- C. Suspension or Debarment. The Judicial Branch of Arizona, Trial Courts may, by written notice to the Contractor, immediately terminate this Contract if the Judicial Branch of Arizona, Trial Courts determines that the Contractor has been debarred, suspended or otherwise lawfully prohibited from participating in any public procurement activity, including but not limited to, being disapproved as a subcontractor of any public procurement unit or other governmental body. Submittal of an offer or execution of a contract shall attest that the Contractor is not currently suspended or debarred. If the Contractor becomes suspended or debarred, the Contractor shall immediately notify the Judicial Branch of Arizona, Trial Courts.
- D. Termination for Convenience. The Judicial Branch of Arizona, Trial Courts reserves the right to terminate the Contract, in whole or in part at any time, when in the best interests of the Judicial Branch of Arizona, Trial Courts without penalty or recourse. Upon receipt of the written notice, the Contractor shall immediately stop all work, as directed in the notice, notify all subcontractors of the effective date of the termination and minimize all further costs to the Judicial Branch of Arizona, Trial Courts. In the event of termination under this paragraph, all documents, data and reports prepared by the Contractor under the Contract shall become the property of and be delivered to the Judicial Branch of Arizona, Trial Courts upon demand. The Contractor shall be entitled to receive just and equitable compensation for work in progress, work completed and materials accepted before the effective date of the termination. The cost principles and procedures provided in A.A.C. R2-7-701 shall apply.
- E. Termination for Default.
- (1) In addition to the rights reserved in the Contract, the Judicial Branch of Arizona, Trial Courts may terminate the Contract in whole or in part due to the failure of the Contractor to comply with any term or condition of the Contract, to acquire and maintain all required insurance policies, bonds,

## SECTION 3 UNIFORM TERMS AND CONDITIONS

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

**SOLICITATION NO. 06004-RFP**

licenses and permits, or to make satisfactory progress in performing the Contract. The Contract Specialist shall provide written notice of the termination and the reasons for it to the Contractor.

- (2) Upon termination under this paragraph, all goods, materials, documents, data and reports prepared by the Contractor under the Contract shall become the property of and be delivered to the Judicial Branch of Arizona, Trial Courts on demand.
- (3) The Judicial Branch of Arizona, Trial Courts may, upon termination of this Contract, procure, on terms and in the manner that it deems appropriate, materials or services to replace those under this Contract. The Contractor shall be liable to the Judicial Branch of Arizona, Trial Courts for any excess costs incurred by the Judicial Branch of Arizona, Trial Courts in procuring materials or services in substitution for those due from the Contractor.

F. Continuation of Performance Through Termination. The Contractor shall continue to perform, in accordance with the requirements of the Contract, up to the date of termination, as directed in the termination notice.

**10. Contract Claims.** Refer to the Superior Court website at <http://www.superiorcourt.maricopa.gov/courtInfo/puchasing/>.

**11. Arbitration.** The parties to this Contract agree to resolve all disputes arising out of or relating to this Contract through arbitration, after exhausting applicable administrative review, to the extent required by A.R.S. § 12-1518. Except as may be required by any other applicable statutes/rules.

## SECTION 4 SPECIAL INSTRUCTIONS TO OFFERORS

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

### SOLICITATION NO. 06004-RFP

1. **Definition of Terms Used in these Special Instructions.** As used in these instructions, the following terms, in addition to those terms defined in Section 2, Paragraph 1, have the following meaning:
  - A. “*JBTC*” means Judicial Branch of Arizona Trial Courts.
  - B. “*Department*” means the Contracts Department of the Judicial Branch of Arizona Trial Courts.
2. **Required Information.** The following shall be submitted concurrent with and as part of the Offer: One clearly marked original and three (3) copies of the offer are required.
  - A. Offer and Contract Award Form;
  - B. Contract Administration: Complete Section 2 Paragraphs 15 and 16;
  - C. Attachment 6.1, Prices;
  - D. Attachment 6.2, Offeror’s Questionnaire;
  - E. Attachment 6.3, Sole Proprietor Certificate (if necessary);
  - F. Attachment 6.4, Business Ownership Classification
  - G. Solicitation Amendments (if any).
3. **Authorized Signature.**
  - A. For any document that requires the Offeror’s signature, the signature provided must be that of the Owner, Partner or Corporate Officer duly authorized to sign contractual agreements. Additionally, if requested by JBTC, disclosure of ownership information shall be submitted.
    - (1) Privately Owned: The Owner must sign the contract.
    - (2) Partnership: A Partner must sign the contract.
    - (3) Corporation: A Corporate Officer must sign the contract.
  - B. If a person other than these specified individuals signs the contract, a Power of Attorney indicating the employee’s authority must accompany the contract. All addenda to the contract shall be signed by the authorized individual who signed the contract except that they may be signed by a duly authorized designee.
4. **Award of Contract.** Award of a contract will be made to the most responsible Offeror(s) whose proposal is determined to be the most advantageous to the Judicial Branch of Arizona, Trial Courts based on the evaluation criteria set forth in the Solicitation.

## SECTION 4 SPECIAL INSTRUCTIONS TO OFFERORS

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

**SOLICITATION NO. 06004-RFP**

**5. Inclusive Offeror:**

Offeror(s) are encouraged to make every effort to utilize subcontractors that are small, women-owned and/or minority owned business enterprises. This could include subcontracts for percentage of the work. Offerors who are committing a portion of their work to such subcontractors shall do so by identifying the type of service and work to be performed by providing detail concerning your organization's utilization of small, women-owned and/or minority business enterprises. Emphasis should be placed on specific areas that are subcontracted and percentage of contract utilization and how this effort will be administered and managed, including reporting requirements.

**6. Evaluation and Selection.** Evaluation of offers will be accomplished as follows:

- A. Step One. Initial review of offer to determine basic responsiveness to the Solicitation, where offers will be reviewed to insure they include all required information.
- B. Step Two. Evaluation of offer to assess the Offeror's capability to deliver the required services in accordance with the terms and conditions set forth in the Solicitation and requirements of the Scope of Work.
- C. Step Three. (Optional) Discussions with Offerors concerning their offers are for clarification purposes only. This does not imply any change(s) to the proposal.
- D. Step Four. Contract award(s) made to the responsible Offeror(s) whose offer(s) is determined to be the most advantageous to the Judicial Branch of Arizona, Trial Courts, based on the following criteria (in bold print below), which are listed in descending order of importance.
  - (1) **Offeror's Experience, Expertise and Reliability; as it relates to this solicitation;** JBTC will evaluate the offeror's experience, expertise and reliability based on the offeror's resume and references as matched to the needs of this solicitation.
  - (2) **Method of Approach and Implementation Plan;** Overview that indicates an understanding of the requirements of the Statement of Work. JBTC will evaluate the offeror's response to determine how well it satisfies JBTC's needs as stated in the statement of work.
  - (3) **Price;** The offeror's price will be compared to the lowest offer and the offeror will receive a pro-rated score based on this comparison.

**7. Discussions.** In accordance with Rule 28 of the Judicial Procurement Code, after the initial receipt of offers, JBTC reserves the option to conduct discussions with those Offerors who submit offers determined by the Judicial Branch of Arizona, Trial Courts to be reasonably susceptible of being selected for award.

**8. Certificate of Insurance Form.** JBTC recommends that the Offeror consider using the sample Certificate of Insurance included in this Solicitation as **Exhibit 7.1**. If the Offeror wishes, it may submit a substantially similar Certificate of Insurance. If the Offeror so elects, the proposed Certificate of Insurance shall be submitted to JBTC for review and approval.

## SECTION 5 UNIFORM INSTRUCTIONS TO OFFERORS

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

### SOLICITATION NO. 06004-RFP

**1. Definition of Terms.** As used in these Instructions, the terms listed below are defined as follows:

- A. “Attachment” means any item the Solicitation requires an Offeror to submit as part of the Offer.
- B. “Contract” means the combination of the Solicitation, including the Uniform and Special Instructions to Offerors, the Uniform and Special Terms and Conditions, and the Specifications and Statement of Scope of Work; the Offer and any Final Proposal Revisions; and any Solicitation Amendments or Contract Amendments; and any terms applied by law.
- C. “Contract Amendment” means a written document signed by the offeror and the presiding judge that is issued for the purpose of making changes in the Contract.
- D. “Contractor” means any person who has a contract with the Judicial Branch of Arizona, Trial Courts.
- E. “Days” means calendar days unless otherwise specified.
- F. “Exhibit” means any item labeled as an Exhibit in the Solicitation or placed in the Exhibits section of the Solicitation.
- G. “Offer” means bid, proposal or quotation.
- H. “Offeror” means a vendor who responds to a Solicitation.
- I. “Contract Specialist” means the person duly authorized by the Judicial Branch of Arizona, Trial Courts to enter into and administer Contracts and make written determinations with respect to the Contract or his or her designee.
- J. “Solicitation” means an Invitation for Bids (“IFB”), a Request for Proposals (“RFP”), or a Request for Qualifications (“RFQ”).
- K. “Solicitation Amendment” means a written document that is authorized by the and issued for the purpose of making changes to the Solicitation.
- L. “Subcontract” means any Contract, express or implied, between the Contractor and another party or between a subcontractor and another party delegating or assigning, in whole or in part, the making or furnishing of any material or any service required for the performance of the Contract.

**2. Inquiries.**

- A. Duty to Examine. It is the responsibility of each Offeror to examine the entire Solicitation, seek clarification in writing (inquiries), and examine its Offer for accuracy before submitting the Offer. Lack of care in preparing an Offer shall not be grounds for modifying or withdrawing the Offer after the Offer due date and time, nor shall it give rise to any Contract claim.
- B. Solicitation Contact Person. Any inquiry related to a Solicitation, including any requests for or inquiries regarding standards referenced in the Solicitation, shall be directed solely to the Solicitation contact person. The Offeror shall not contact or direct inquiries concerning this Solicitation to any other Judicial Branch of

## SECTION 5 UNIFORM INSTRUCTIONS TO OFFERORS

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

### SOLICITATION NO. 06004-RFP

Arizona, Trial Courts employee unless the Solicitation specifically identifies a person other than the Solicitation contact person as a contact.

- C. Submission of Inquiries. The or the person identified in the Solicitation as the contact for inquiries may, except at the Pre-Offer Conference, require that an inquiry be submitted in writing. Any inquiry related to a Solicitation shall refer to the appropriate Solicitation number, page and paragraph. Do not place the Solicitation number on the outside of the envelope containing that inquiry, since it may then be identified as an Offer and not be opened until after the Offer due date and time. The Judicial Branch of Arizona, Trial Courts shall consider the relevancy of the inquiry but is not required to respond in writing.
- D. Timeliness. Any inquiry or exception to the Solicitation shall be submitted as soon as possible and at least seven days before the Offer due date and time for review and determination by the Judicial Branch of Arizona, Trial Courts. Failure to do so may result in the inquiry not being considered for a Solicitation Amendment.
- E. No Right to Rely on Verbal Responses. An Offeror shall not rely on verbal responses to inquiries. A verbal reply to an inquiry does not constitute a modification of the Solicitation.
- F. Solicitation Amendments. The Solicitation shall only be modified by a Solicitation Amendment.
- G. Pre-Offer Conference. If a pre-Offer Conference has been scheduled under this Solicitation, the date, time and location shall appear on the Solicitation cover sheet or elsewhere in the Solicitation. Offerors should raise any questions about the Solicitation or the procurement at that time. An Offeror may not rely on any verbal responses to questions at the Conference. Material issues raised at the Conference that result in changes to the Solicitation shall be answered solely through a written Solicitation Amendment.
- H. Persons With Disabilities. Persons with a disability may request a reasonable accommodation, such as a sign language interpreter, by contacting the Solicitation contact person. Requests shall be made as early as possible to allow time to arrange the accommodation.

### 3. Offer Preparation.

- A. Forms: No Facsimile or Telegraphic Offers. An Offer shall be submitted either on the forms provided in this Solicitation or their substantial equivalent. Any substitute document for the forms provided in this Solicitation must be legible and contain the same information requested on the forms unless the Solicitation indicates otherwise. A facsimile, telegraphic, mailgram or electronic mail Offer shall be rejected if submitted in response to requests for proposals or invitations for bids.
- B. Typed or Ink; Corrections. The Offer shall be typed or in ink. Erasures, interlineations or other modifications in the Offer shall be initialed in ink by the person signing the Offer. Modifications shall not be permitted after Offers have been opened except as otherwise provided under applicable law.
- C. Evidence of Intent to be Bound. The Offer and Acceptance form within the Solicitation shall be submitted with the Offer and shall include a signature (or acknowledgement for electronic submissions, when authorized) by a person authorized to sign the Offer. The signature shall signify the Offeror's intent to be bound by the Offer and the terms of the Solicitation and that the information provided is true, accurate and complete. Failure to submit verifiable evidence of intent to be bound, such as an original signature, shall result in rejection of the Offer.

## SECTION 5 UNIFORM INSTRUCTIONS TO OFFERORS

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

### SOLICITATION NO. 06004-RFP

- D. Exceptions to Terms and Conditions. All exceptions included with the Offer shall be submitted in a clearly identified separate section of the Offer in which the Offeror clearly identifies the specific paragraphs of the Solicitation where the exceptions occur. Any exceptions not included in such a section shall be without force and effect in any resulting Contract unless such exception is specifically accepted by the Contract Specialist in a written statement. The Offeror's preprinted or standard terms will not be considered by the Judicial Branch of Arizona, Trial Courts as a part of any resulting Contract.
- (1) Invitation for Bids: An Offer that takes exception to a material requirement of any part of the Solicitation, including terms and conditions, shall be rejected.
- (2) Request for Proposals: All exceptions that are contained in the Offer may negatively affect the Judicial Branch of Arizona, Trial Courts' proposal evaluation based on the evaluation criteria as stated in the Solicitation, or result in rejection of the Offer. An Offer that takes exception to any material requirement of the Solicitation may be rejected.
- E. Subcontracts. Offeror shall clearly list any proposed subcontractors and the subcontractor's proposed responsibilities in the Offer.
- F. Cost of Offer Preparation. The Judicial Branch of Arizona, Trial Courts will not reimburse any Offeror the cost of responding to a Solicitation.
- G. Solicitation Amendments. Each Solicitation Amendment shall be signed with an original signature by the person signing the Offer, and shall be submitted no later than the Offer due date and time. Failure to return a signed copy of a Solicitation Amendment may result in rejection of the Offer.
- H. Federal Excise Tax. The State of Arizona is exempt from certain Federal Excise Tax on manufactured goods. Exemption Certificates will be provided by the State.
- I. Provision of Tax Identification Numbers. Offerors are required to provide their Arizona Transaction Privilege Tax Number and/or Federal Tax Identification number in the space provided on the Offer and Acceptance Form.
- (1) Employee Identification. Offeror agrees to provide an employee identification number or social security number to the Department for the purposes of reporting to appropriate taxing authorities, monies paid by the Department under this Contract. If the federal identifier of the Offeror is a social security number, this number is being requested solely for tax reporting purposes and will be shared only with appropriate state and federal officials. This submission is mandatory under 26 U.S.C. § 6041A.
- J. Identification of Taxes in Offer. The State of Arizona is subject to all applicable state and local transaction privilege taxes. All applicable taxes shall be included in the pricing offered in the Solicitation. At all times, payment of taxes and the determination of applicable taxes are the sole responsibility of the Contractor.
- K. Disclosure. If the firm, business or person submitting this Offer has been debarred, suspended or otherwise lawfully precluded from participating in any public procurement activity, including being disapproved as a subcontractor with any Federal, state or local government, or if any such preclusion from participation from any public procurement activity is currently pending, the Offeror shall fully explain the circumstances relating to the preclusion or proposed preclusion in the Offer. The Offeror shall include a letter with its Offer setting forth the name and address of the governmental unit, the effective date of this suspension or

## SECTION 5 UNIFORM INSTRUCTIONS TO OFFERORS

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

### SOLICITATION NO. 06004-RFP

debarment, the duration of the suspension or debarment, and the relevant circumstances relating to the suspension or debarment. If suspension or debarment is currently pending, a detailed description of all relevant circumstances including the details enumerated above shall be provided.

- L. Solicitation Order of Precedence. In the event of a conflict in the provisions of this Solicitation, the following shall prevail in the order set forth below:

- (1) Special Terms and Conditions;
- (2) Uniform Terms and Conditions;
- (3) Statement or Scope of Work;
- (4) Specifications;
- (5) Attachments;
- (6) Exhibits;
- (7) Special Instructions to Offerors;
- (8) Uniform Instructions to Offerors;
- (9) Other documents referenced or included in the Solicitation.

- M. Delivery. Unless stated otherwise in the Solicitation, all prices shall be F.O.B. Destination and shall include all delivery and unloading at the destination(s).

#### 4. Submission of Offer.

- A. Sealed Envelope or Package. Each Offer shall be submitted to the submittal location identified in this Solicitation. Offers should be submitted in a sealed envelope or container. The envelope or container should be clearly identified with name of the Offeror and Solicitation number. The Judicial Branch of Arizona, Trial Courts may open envelopes or containers to identify contents if the envelope or container is not clearly identified.
- B. Offer Amendment or Withdrawal. An Offer may not be amended or withdrawn after the Offer due date and time except as otherwise provided under applicable law.
- C. Public Record. All Offers submitted and opened are public records and must be retained by the Judicial Branch of Arizona, Trial Courts. Offers shall be open to public inspection after Contract award and execution, except for such Offers deemed to be confidential by the Judicial Branch of Arizona, Trial Courts. If an Offeror believes that information in its Offer should remain confidential, it shall indicate as confidential, the specific information and submit a statement with its Offer detailing the reasons that the information should not be disclosed. Such reasons shall include the specific harm or prejudice which may arise. The Judicial Branch of Arizona, Trial Courts shall determine whether the identified information is confidential pursuant to the Judicial Procurement Code.



## SECTION 5 UNIFORM INSTRUCTIONS TO OFFERORS

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

### SOLICITATION NO. 06004-RFP

D. Non-collusion, Employment, and Services. By signing the Offer and Acceptance Form or other official contract form, the Offeror certifies that:

- (1) The Offeror did not engage in collusion or other anti-competitive practices in connection with the preparation or submission of its Offer; and
- (2) The Offeror does not discriminate against any employee or applicant for employment or person to whom it provides services because of race, color, religion, sex, national origin, or disability, and that it complies with all applicable Federal, state and local laws and executive orders regarding employment.

#### 5. Evaluation.

- A. Unit Price Prevails. Where applicable, in the case of discrepancy between the unit price or rate and the extension of that unit price or rate, the unit price or rate shall govern.
- B. Prompt Payment Discount. Prompt payment discounts of thirty (30) days or more set forth in an Offer shall be deducted from the Offer for the purposes of evaluating that price.
- C. Late Offers. An Offer submitted after the exact Offer due date and time shall be rejected.
- D. Disqualification. An Offer (including each of its principals) who is currently debarred, suspended or otherwise lawfully prohibited from any public procurement activity shall have its Offer rejected.
- E. Offer Acceptance Period. An Offeror submitting an Offer under this Solicitation shall hold its Offer open for the number of days from the Offer's due date that is stated in the Solicitation. If the Solicitation does not specifically state a number of days for Offer acceptance, the number of days shall be one hundred-twenty (120).
- F. Waiver and Rejection Rights. Notwithstanding any other provision of the Solicitation, the Judicial Branch of Arizona, Trial Courts reserves the right to:
- (1) Waive any minor informality;
  - (2) Reject any and all Offers or portions thereof; or
  - (3) Cancel a Solicitation.

#### 6. Award.

- A. Number or Types of Awards. The Judicial Branch of Arizona, Trial Courts reserves the right to make multiple awards or to award a Contract by individual line items or alternatives, by group of line items or alternatives, or to make an aggregate award, or regional awards, whichever is most advantageous to the Judicial Branch of Arizona, Trial Courts. If the Contract Specialist determines that an aggregate award to one Offeror is not in the Judicial Branch of Arizona, Trial Courts' best interest, "all or none" Offers shall be rejected.
- B. Contract Inception. An Offer does not constitute a Contract nor does it confer any rights on the Offeror to the award of a Contract. A Contract is not created until the Offer is accepted in writing by the presiding

**SECTION 5**  
**UNIFORM INSTRUCTIONS TO OFFERORS**

Judicial Branch of Arizona  
Trial Courts  
Contracts Department  
201 W. Jefferson Street  
CCB 4<sup>th</sup> Floor  
Phoenix, Arizona 85003

**SOLICITATION NO. 06004-RFP**

judge's signature on the Offer and Acceptance Form. A notice of award or of the intent to award shall not constitute acceptance of the Offer.

- C. Effective Date. The effective date of this Contract shall be the date that the offeror and the presiding judge signs the Offer and Acceptance form or other official contract form, unless another date is specifically stated in the Contract.

7. **Protests.** Refer to the Superior Court website at <http://www.superiorcourt.maricopa.gov/courtInfo/purchasing/>.

**ATTACHMENT 6.1**  
**PRICES/DELIVERY SCHEDULE**  
**SOLICITATION No. 06004-RFP**

DESCRIPTION	FIXED PRICE
Standard Outpatient (SOP)	
Intensive Outpatient (IOP)	
Relapse Prevention	
Aftercare	

**ATTACHMENT 6.2**  
**OFFEROR'S QUESTIONNAIRE**  
**SOLICITATION No. 06004-RFP**

1. As an attachment, please provide a current resume that shows your qualifications (i.e. diploma, license, etc.) for each clinical support staff that will be providing services and an organization chart of your organization.
2. Please provide at least three (3) references who can attest to your ability to provide the services required by this solicitation or similar services.
3. Please provide a written narrative to describe the method of approach and implementation you propose to perform the work required by this solicitation.
4. Please provide addresses or each location where services will be provided.
5. Please provide sliding fee scale.
6. Acknowledgement of specific curriculum.

## ATTACHMENT 6.3



### ARIZONA DEPARTMENT OF ADMINISTRATION RISK MANAGEMENT SECTION

1818 WEST ADAMS  
PHOENIX, ARIZONA 85007  
FAX 542-1982

#### SOLE PROPRIETOR WAIVER

NOTE: THIS FORM APPLIES ONLY TO STATE OF ARIZONA AGENCIES, BOARDS, COMMISSIONS AND UNIVERSITIES UTILIZING SOLE PROPRIETORS WITH NO EMPLOYEES. IF YOU ARE CONTRACTING WITH A CORPORATION, LIMITED LIABILITY COMPANY, PARTNERSHIP OR SOLE PROPRIETORS WITH EMPLOYEES, THIS FORM DOES NOT APPLY.

The following is a written waiver under the compulsory Workers' Compensation laws of the State of Arizona, A.R.S. §23-901 (et. seq.), and specifically, A.R.S. §23-961(L), that provides that a Sole Proprietor may waive his/her rights to Workers' Compensation coverage and benefits.

I am a sole proprietor and I am doing business as \_\_\_\_\_ (name of Sole Proprietors Business). I am performing work as an independent contractor for the State of Arizona, \_\_\_\_\_, for Workers' Compensation purposes, and therefore, I am not entitled to Workers' Compensation benefits from the State of Arizona, \_\_\_\_\_.

I understand that if I have any employees working for me, I must maintain Workers' Compensation insurance on them.

Name of Sole Proprietor: \_\_\_\_\_  
Social Security Number: \_\_\_\_\_ Telephone #: \_\_\_\_\_  
Street Address/P.O. Box: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_  
Signature of  
Sole Proprietor: \_\_\_\_\_ Date: \_\_\_\_\_

Agency: Arizona Department of Education Agency #: 455  
Signature of Agency  
Contract Administrator: \_\_\_\_\_ Date: \_\_\_\_\_

Both signatures must be signed and the completed form submitted to the State of Arizona, Department of Administration, Risk Management Section, Insurance Unit, 1818 W. Adams, Phoenix, Az 85007. An authorized Risk Management Representative will sign and return to the agency to be maintained in their records.

\_\_\_\_\_  
Signature of Risk Management Authorized Signer

\_\_\_\_\_  
Date

## ATTACHMENT 6.4 BUSINESS OWNERSHIP CLASSIFICATIONS

**NOTE:** THE FOLLOWING REQUESTED INFORMATION IS FOR DATA COLLECTION PURPOSES ONLY

<b>Name of Organization:</b>			
<b>Contact Person:</b>			
<b>Contact Phone:</b>		<b>Fax:</b>	
<b>Email:</b>			
<b>Address: Street/PO Box:</b>			
<b>City, State, Zip:</b>			

**Primary Business Type (Select One Only):**

- |   |   |  |
|---|---|--|
| <input type="checkbox"/> <b>A</b> Authorized<br>Distributor | <input type="checkbox"/> <b>E</b> Factory<br>Representative | <input type="checkbox"/> <b>I</b> Service Firm         |
| <input type="checkbox"/> <b>B</b> Broker                    | <input type="checkbox"/> <b>F</b> Jobber/Wholesaler         | <input type="checkbox"/> <b>J</b> Surplus Dealer       |
| <input type="checkbox"/> <b>C</b> Construction Firm         | <input type="checkbox"/> <b>G</b> Manufacturer              | <input type="checkbox"/> <b>K</b> Health Care Provider |
| <input type="checkbox"/> <b>D</b> Consulting Firm           | <input type="checkbox"/> <b>H</b> Retailer                  | <input type="checkbox"/> <b>L</b> Other _____          |

**Business Ownership Type (Select Only Those that Apply to Majority Owner(s)).**

**Business Size:**

- ☐ **1** Non-Small  
☐ **2** Small Business (Per ARS §41-1001.14)  
**Business Owner Type (Check all that apply):**  
☐ **3** Woman Owned Business  
☐ **4** Owned By Disabled Individual (Per ARS §41-1492)  
☐ **5** Minority Owned Business (Per 15 CFR §1400.1(a))

**If "Minority Owned," please identify:**

- ☐ **6** African-American  
☐ **7** Asian-American  
☐ **8** Hispanic-American  
☐ **9** Native American

**APPLICANT CERTIFICATION:**

**I CERTIFY THAT:**

- I, as an officer of this organization, or per the attached letter of authorization, am duly authorized to certify the information requested herein;
- To the best of my knowledge the elements of information provided herein are accurate and true as of the date; and
- My organization shall comply with all State and Federal Equal Opportunity and Non-Discrimination requirements and conditions of employment in accordance with ARS §Title 41 Chapter 9, Article 4 and Executive Order No. 99-4 dated February 8, 1999.

Printed or Typed Name: \_\_\_\_\_

Title: \_\_\_\_\_

Signature

Date



# CERTIFICATE OF INSURANCE

CONTRACT NO. 06004-RFP

VENDOR:

**Judicial Branch of Arizona**

**Trial Courts**

**Contracts Department**

**201 W. Jefferson Street**

**Phoenix, Arizona 85003**

**(602) 506-8124**

Prior to commencing services under this Contract, the Contractor must furnish the State, certification from insurer(s) for coverages in the minimum amounts as stated below. The coverages shall be maintained in full force and effect during the term of this Contract and shall not serve to limit any liabilities or any other Contractor obligations.

<b>Name and Address of Insurance Agency::</b>	<b>Company Letter</b>	<b>Companies Affording Coverage:</b>
	<b>A</b>	
	<b>B</b>	
<b>Name and Address of Insured:</b>	<b>C</b>	
	<b>D</b>	

LIMITS OF LIABILITY MINIMUM – EACH OCCURRENCE		COMPANY LETTER	TYPE OF INSURANCE	POLICY NUMBER	DATE POLICY EXPIRES
Bodily Injury  Per Person  Each Occurrence  Property Damage  <b>OR</b>  Bodily Injury  and  Property Damage  Combined			Comprehensive General Liability Form  Premises Operations  Contractual  Independent Contractors  Products/Completed Operations Hazard  Personal Injury  Broad Form Property Damage  Explosion & Collapse (If Applicable)  Underground Hazard (If Applicable)		
Same as Above			Comprehensive Auto Liability Including Non-Owned (If Applicable)		
Necessary if underlying is not above minimum			Umbrella Liability		
Statutory Limits			Workmen's Compensation and Employer's Liability		
			Other		

State of Arizona and the Department named above are added as additional insureds as required by statute, contract, purchase order, or otherwise requested. It is agreed that any insurance available to the named insured shall be primary of other sources that may be available.

It is further agreed that no policy shall expire, be canceled or materially changed to affect the coverage available to the State without thirty (30) days written notice to the State. This Certificate is not valid unless countersigned by an authorized representative of the insurance company.

**Name and Address of Certificate Holder:**

Date Issued: \_\_\_\_\_

\_\_\_\_\_  
Authorized Representative

**END OF SOLICITATION NO. 06004-RFP**